



#4  
8/16/01

Our Docket No.: 042390.P8098

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/540,946

Filed: March 31, 2000

For: Managing a Secure Environment Using  
Hierarchical Executive Architecture in  
Isolated Execution Mode (Amended)

Examiner: Unassigned

Art Group: 2785

RECEIVED  
OCT 30 2000  
TC 2700 MAIL ROOM

PRELIMINARY AMENDMENT

Box Non-Fee Amendment  
Assistant Commissioner for Patents  
Washington, DC 20231-9998

Sir:

Applicant respectfully requests amendment of the above-identified Patent Application  
as follows:

IN THE TITLE

Please delete the title and insert the following in lieu thereof --Managing a Secure  
Environment Using a Hierarchical Executive Architecture in Isolated Execution Mode--

REMARKS

This Preliminary Amendment is filed prior to initial review of the Application.  
Applicant respectfully requests examination of all pending claims.

10/26/2000 CCHAU1 00000078 022666 09539344

01 FC:103 1080.00 CH  
02 FC:102 80.00 CH

042390.P8098

-1-

WWS/CTD/wlr



2131 622785/18

PTO/SB/21 (12/97)  
Approved for use through 9/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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|   |   |                        |                 |
|---|---|------------------------|-----------------|
| <b>TRANSMITTAL FORM</b><br>(to be used for all correspondence after initial filing) |   | Application No.        | 09/539,344      |
|   |   | Filing Date            | March 31, 2000  |
|   |   | First Named Inventor   | Carl M. Ellison |
|   |   | Group Art Unit         | 2785            |
|   |   | Examiner Name          | Not Assigned    |
| Total Number of Pages in This Submission  | 5 | Attorney Docket Number | 042390.P8098    |

| ENCLOSURES (check all that apply)  |   |  |
|--|---|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><br><input type="checkbox"/> Fee Attached<br><br><input checked="" type="checkbox"/> Amendment / Response<br><br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><br><input type="checkbox"/> Extension of Time Request<br><br><input type="checkbox"/> Express Abandonment Request<br><br><input type="checkbox"/> Information Disclosure Statement<br><br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><br><input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><br><input type="checkbox"/> Drawing(s)<br><br><input type="checkbox"/> Licensing-related Papers<br><br><input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition<br><br><input type="checkbox"/> To Convert a Provisional Application<br><br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><br><input type="checkbox"/> Terminal Disclaimer<br><br><input type="checkbox"/> Small Entity Statement<br><br><input type="checkbox"/> Request for Refund | <input type="checkbox"/> After Allowance Communication to Group<br><br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><br><input type="checkbox"/> Proprietary Information<br><br><input type="checkbox"/> Status Letter<br><br><input type="checkbox"/> Additional Enclosure(s) (please identify below):<br><div style="border: 1px solid black; padding: 5px; text-align: center;">TC 2700 MAIL ROOM<br/>OCT 30 2000</div> |
| Remarks  |   |  |

| SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT |  |
|--|--|
| Firm or Individual name                    | William W. Schaal, Reg. No. 39,018<br>BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP |
| Signature                                  |  |
| Date                                       | October 20, 2000   |

| CERTIFICATE OF MAILING/TRANSMISSION  |                  |      |                  |
|--|------------------|------|------------------|
| I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on: <b>October 20, 2000</b> |                  |      |                  |
| Typed or printed name  | Wendi Lou Rostan |      |                  |
| Signature  |                  | Date | October 20, 2000 |

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PTO/SB/17 (12/99)  
Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

Complete if Known

Application No. 09/539,344  
Filing Date March 31, 2000  
First Named Inventor Carl M. Ellison  
Examiner Name Not Assigned  
Group/Art Unit 2785  
Attorney Docket No. 042390.P8098

TOTAL AMOUNT OF PAYMENT (\$) 1,160.00

## METHOD OF PAYMENT (check one)

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit  
Account  
Number

02-2666

Deposit  
Account  
Name

Blakely, Sokoloff, Taylor & Zafman LLP

- ☒ Charge Any Additional Fee(s) Required  
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

- ☐ Applicant claims small entity status.  
See 37 CFR 1.27.

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large Entity |          | Small Entity |          | Fee Description        | Fee Paid |
|--------------|----------|--------------|----------|------------------------|----------|
| Code         | Fee (\$) | Code         | Fee (\$) |                        |          |
| 101          | 710      | 201          | 355      | Utility filing fee     |          |
| 106          | 320      | 206          | 160      | Design filing fee      |          |
| 107          | 490      | 207          | 245      | Plant filing fee       |          |
| 108          | 710      | 208          | 355      | Reissue filing fee     |          |
| 114          | 150      | 214          | 75       | Provisional filing fee |          |

SUBTOTAL (1) (\$)

### 2. EXTRA CLAIM FEES

| Total Claims |                    | Extra Claims |   | Fee from below |   | Fee Paid   |
|--------------|--------------------|--------------|---|----------------|---|------------|
| Independent  | Multiple Dependent | Claims       |   |                |   |            |
| 80           | 20                 | 60           | X | 18.00          | = | \$1,080.00 |
| 4            | 3                  | 1            | X | 80.00          | = | \$80.00    |

\*\*or number previously paid, if greater. For Reissues, see below

| Large Entity |          | Small Entity |          | Fee Description   | Fee Paid |
|--------------|----------|--------------|----------|---|----------|
| Code         | Fee (\$) | Code         | Fee (\$) |   |          |
| 103          | 18       | 203          | 9        | Claims in excess of 20                                    |          |
| 102          | 80       | 202          | 40       | Independent claims in excess of 3                         |          |
| 104          | 260      | 204          | 135      | Multiple Dependent claim, if not paid                     |          |
| 109          | 80       | 209          | 40       | **Reissue independent claims over original patent         |          |
| 110          | 18       | 210          | 9        | **Reissue claims in excess of 20 and over original patent |          |

SUBTOTAL (2) (\$) 1,160.00

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEE

| Large Entity |          | Small Entity |          | Fee Description  | Fee Paid |
|--------------|----------|--------------|----------|--|----------|
| Code         | Fee (\$) | Code         | Fee (\$) |  |          |
| 105          | 130      | 205          | 65       | Surcharge - late filing fee or oath  |          |
| 127          | 50       | 227          | 25       | Surcharge - late provisional filing fee or cover sheet.                    |          |
| 139          | 130      | 139          | 130      | Non-English specification  |          |
| 147          | 2,520    | 147          | 2,520    | For filing a request for reexamination                                     |          |
| 112          | 920*     | 112          | 920*     | *Requesting publication of SIR prior to Examiner action                    |          |
| 113          | 1,840*   | 113          | 1,840*   | *Requesting publication of SIR after Examiner action                       |          |
| 115          | 110      | 215          | 55       | Extension for response within first month                                  |          |
| 116          | 390      | 216          | 195      | Extension for response within second month                                 |          |
| 117          | 890      | 217          | 445      | Extension for response within third month                                  |          |
| 118          | 1,390    | 218          | 695      | Extension for response within fourth month                                 |          |
| 128          | 1,890    | 228          | 945      | Extension for response within fifth month                                  |          |
| 119          | 310      | 219          | 155      | Notice of Appeal   |          |
| 120          | 300      | 220          | 155      | Filing a brief in support of an appeal                                     |          |
| 121          | 270      | 221          | 135      | Request for oral hearing   |          |
| 138          | 1,510    | 138          | 1510     | Petition to institute a public use proceeding                              |          |
| 140          | 110      | 240          | 55       | Petition to revive - unavoidable   |          |
| 141          | 1,240    | 241          | 620      | Petition to revive - unintentional   |          |
| 142          | 1,240    | 242          | 620      | Utility issue fee (or reissue)   |          |
| 143          | 440      | 243          | 220      | Design issue fee   |          |
| 144          | 600      | 244          | 300      | Plant issue fee  |          |
| 122          | 130      | 122          | 130      | Petitions to the Commissioner  |          |
| 123          | 50       | 123          | 50       | Petitions related to provisional applications                              |          |
| 126          | 240      | 126          | 240      | Submission of Information Disclosure Stmt                                  |          |
| 581          | 40       | 581          | 40       | Recording each patent assignment per property (times number of properties) |          |
| 146          | 710      | 246          | 355      | Filing a submission after final rejection (37 CFR 1.129(a))                |          |
| 149          | 710      | 249          | 355      | For each additional invention to be examined (37 CFR 1.129(b))             |          |
| 179          | 710      | 126          | 355      | Request for Continued Examination (RCE)                                    |          |
| 169          | 900      | 169          | 900      | Request for expedited examination of a design application                  |          |

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type) William W. Schaal Registration No. 39,018 Telephone (714) 557-3800  
Signature *William W. Schaal* Date 10/20/00

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.**

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